



RICHMOND POLICE DEPARTMENT GENERAL ORDER

NOTE: This directive is for internal use only, and does not enlarge an employee's civil liability in any way. It should not be constructed as the creation of a higher standard of safety or care in an evidentiary sense, with respect to third party claims. Violation of this directive, if proven, can only form the basis of a complaint by this department, and then only in a non-judicial administrative setting.

Chapter 3	Number 1	Effective Date 01/18/11	Review Date 2014
Subject FINANCIAL MANAGEMENT PROCEDURES			☐ New Order ☒ Replaces G.O. 3-1 (06/01/06)
References CALEA 17.3.1a, 17.3.1b, 17.3.1d VLEPSC ADM.15.01a, ADM.15.01b, ADM.15.01d, ADM.15.01f General Order 3-2 City of Richmond Administrative Regulation 6.4 – Travel Policy (02/01/07) Code of City of Richmond, Chapter 74 Code of Virginia 2.2-4203(G) Richmond City Purchasing Agency Handbook Richmond City Charter §8.10			
 _____ Chief of Police or Designee		01/18/11 _____ Date	

I. PURPOSE

The purpose of this Order is to establish the policy and procedures for Financial Management. This Order consists of the duties and responsibilities related to financial management activities for each Department employee.

II. POLICY

This policy *outlines the* Department's travel, procurement, *credit card usage* and grants *management policy*. *Personnel shall refer to General Order 3-2, Cash Fund/Account Maintenance for procedures in the handling of petty cash.*

III. ACCOUNTABILITY STATEMENT

All employees are expected to fully comply with the guidelines and timelines set forth in this General Order. Failure to comply will result in appropriate corrective action. Responsibility rests with the Division Commander to ensure that any violations of policy are investigated and appropriate training, counseling and/or disciplinary action is initiated.

IV. PROCEDURE

A. Travel Expenses and Statements:

1. Prior Travel Authorization:

- a. All Department employees shall obtain prior travel authorization from the Captain/*Civilian Equivalent* or above of his/her Division/Service/Operation before making any advance travel reservations or arrangements. All travel advance requests or travel reimbursements shall be for law enforcement purposes or official business only. If such travel will be in or out of the Commonwealth of VA, the requesting employee must submit all of the following to the Chief of Police for approval:

- 1) A Request for Advance Travel and Expenditure Authorization (PD-104); and,
- 2) The City's Travel Advance Request Voucher.

NOTE: The Chief's approval will be needed prior to making any advance travel reservations or other fiscal commitment associated with travel.

- a) If such travel will be out of state, the requesting employee must additionally have his/her OIC (Budget Organization Manager) with the authority to approve the Travel Voucher notify, via e-mail the Office of the Chief Administrative Officer (CAO) *or designee* of the employee's name, date of travel and destination; and,
- b) The employee will complete the City's Travel Advance Request Voucher.

NOTE: Washington, DC is an exception to the out-of-state rule.

- b. All travel vouchers, once approved, will be filed with the Financial Management Division's, Purchasing Unit.
- c. Travel forms, general information and assistance with completing travel advance and/or reimbursement documents can be obtained through the Purchasing Unit.

2. Travel Requiring Overnight Stay:

- a. Approval for receiving funds prior to departure for an overnight stay must be obtained prior to the departure date through the use of Travel Advance Request Voucher. The employee shall:
 - 1) Complete employee identification items (date, name, Department and division);
 - 2) Estimate travel costs for transportation, lodging and meals then complete all items, 1 through 8, as appropriate, and all relevant sections at the bottom of the form including "pre-paid items".

- 3) *All registration fees, hotel deposits, airline tickets and other expenses paid by credit card shall be placed on the Travel Advance Authorization Request Voucher under “pre-paid items”.*

NOTE: Employees seeking air travel authorization *should* contact the Purchasing Unit for travel options.

- 4) *Copies of the proposed itinerary, conference brochure, payment authorization number or other appropriate documentation must be attached to the Travel Advance Authorization Request Voucher.*
 - 5) Sign, date and submit the form to his/her Captain or above; and,
 - 6) The employee must allow 10 days for processing by City Hall’s Finance Department prior to the travel departure date or the Travel Advance Request Voucher will be returned to the employee unprocessed.
- b. The Captain/*Civilian Equivalent* or above should sign the Travel Advance Request Voucher in the upper right hand corner verifying the form has been submitted through channels.
 - c. The approved Travel Advance Request Voucher must be forwarded to the Purchasing Unit for review and approval prior to delivery to City Hall’s Finance Department for processing.
 - d. The employee must complete the Travel Expense Settlement Voucher, upon return from the trip, by inserting actual costs incurred and attaching all necessary receipts to the original copy of the form. Expenditures requiring receipts are as follows:
 - 1) Train, bus or airline tickets;
 - 2) Hotel room;
 - 3) Cost incurred for transportation (city vehicle, rental vehicle, taxi trips of \$15 or more);
 - 4) Any individual expenditure excluding per diem of \$15 or more; and,
 - 5) Conference/training registration costs.

3. Acceptable Expenses:

The following guidelines are established and will be the basis upon which reimbursement of expenses will be approved:

- a. Transportation:

- 1) Air – Reimbursement will be allowed for coach or “super saver” accommodations.
- 2) Automobile – An allowance per City Administrative Regulation 6.4 will be made for authorized use of personal automobiles. Indicate “Personal Vehicle Used” on the Travel Advance Request Voucher and the Travel Expense Settlement Voucher. Carpool when more than one person is traveling to the same destination.
- 3) Taxicabs – Present a receipt for trips exceeding \$15.00.
- 4) Parking – Reimbursement will be allowed for all vehicles.

b. Lodging:

- 1) Single Occupancy Room Charge – In case an official or employee is accompanied by a spouse, a hotel bill for the room, at the single occupancy rate, should be obtained and attached to the Travel Advance form.
- 2) University Accommodations – City officials and employees attending seminars, short schools and other conferences held at colleges or universities where rooms are available will use these accommodations in lieu of local motels or hotels.

c. Meals:

- 1) Allowable Expense – Costs of meals while traveling are determined by the Per Diem Rate Table located on the Budget and Finance Server. Meals are to be reimbursed at the per diem rate and adjusted for the time of departure or return. Per diem rates include meal tips. The first day of travel and the last day will be reimbursed at 75% of the per diem applicable to the overnight lodging location.
- 2) Pre-paid Conference Meals – Attendance at conferences, conventions, banquets or special luncheons should be paid for at the time of registration and included on the travel form under “Other” as part of the Registration Fee.

NOTE: The per diem rate shall be adjusted to exclude meals provided in the cost of the conference registration.

- d. Cost of official entertainment of others should be supported by information indicating, in addition to the amount and date of expenditure, the names and business affiliations of guests. Prior approval by the Major or Executive Director of the employee’s Operation must be obtained to incur entertainment expenses.

4. Non-Reimbursable Expenditures:
 - a. Meal tips above inclusion in per diem;
 - b. Mileage or transportation expenses, when transported by another traveler, who is entitled to mileage or transportation expenses;
 - c. Loss of funds or personal belongings;
 - d. Personal expenses such as telephone calls, haircuts, valet service, laundry, room service, movies, sporting events, fitness clubs, etc.;
 - e. Travel insurance premiums paid by the traveler;
 - f. Costs of alcoholic beverages;
 - g. Spouse or companion expenses; and,
 - h. ***Other items not specifically identified, but not considered necessary or reasonable (i.e. more than one (1) item of baggage).***
5. For additional questions, refer to the City's Administrative Regulation 6.4 – Travel Policy or contact the Purchasing Unit.
6. For localities eligible for the per diem amount under the high-low substantiation method, refer to Per Diem Rate Table under the Budget and Finance folder of the server.

B. Procurement:

1. Division/Unit Responsibilities:
 - a. Ensure, in advance, the item is budgeted and funds are available for purchase.
 - b. Forecast the need in advance and provide clear, concise item descriptions and specifications on all purchasing documents.
 - c. Inspect shipments – Refuse to accept any shipment that does not meet the purchase order terms and conditions.
 - d. Monitor, report and document vendor/contractor non-performance to the Purchasing Unit on a Vendor Complaint Form.
 - e. Submit packing slips to the Purchasing Unit for items to be recorded as a Fixed Asset.
 - f. Submit approved invoices to the Purchasing Unit. Mark “OK to Pay” authorizing vendor payment.
 - g. Certify that invoices are billed and paid in accordance with contract costs, terms and conditions.

- h. Ensure that the contract amount is not exceeded without proper authorization. The Non-Construction Change Order Form must be completed by the Purchasing Unit when these conditions apply.
 - i. Ensure that the contract terms and conditions are not extended, increased, decreased or modified in any way without the approval of Procurement Services. The Change Order Form must be completed by the Purchasing Unit when these conditions apply.
 - j. Keep the Purchasing Unit informed of significant events involving the contract, i.e vendor non-performance, vendor non-delivery, etc.
2. Financial Management Division Responsibilities:
- a. Process all purchase requests into the Advantage Financial System Purchasing Module except when authorized by the City Charter, the City Code or other regulations to directly purchase specified supplies, material or equipment.
 - b. Require all items to be purchased under a City Contract through a Price Agreement Release form.
 - c. Coordinate the review of items being considered for purchase as well as vendors' evaluation sessions and interviews with the Department of Procurement Services staff.
 - d. Make all emergency purchases through the Department of Procurement Services during normal business hours whenever possible.
 - e. Advise the Director of Procurement Services of any change in plans or programs affecting the purchase or use of supplies, materials or equipment.
 - f. Advise the Director of Procurement Services of the appropriateness and suitability of commodities, equipment and services furnished.
 - g. Provide assistance in the development of City Standards and Specifications as necessary.
 - h. Request the establishment of a City contract when it would be beneficial to the RPD.
 - i. Develop and deliver training programs to personnel involved in departmental business processes.
 - j. Determine when transactions will be considered for payment by the RPD when declared an "Unauthorized Purchase".

- k. Serve as the Procurement liaisons for the RPD community and the Department of Procurement Services.

3. Methods of Procurement:

- a. Small Purchases – Any contract not exceeding the amount specified in VA Code §2.2-4303(G), as amended, as the ceiling for the use of small purchases procedures may be made in accordance with small purchase procedures established by the Director of Procurement Services provided; however, that the contract requirements shall not be artificially divided so as to constitute a small purchase under this section. Insofar as it is practical, no less than three businesses shall be solicited to submit quotations, at least one of which shall be a local minority business enterprise or emerging small business. The efforts to solicit a local minority business enterprise or emerging small business shall be recorded and maintained as a public record. An award shall be made to the business offering the lowest acceptable quotation. The names of the businesses submitting a quotation, and the dates and amounts of each quotation, shall be recorded and maintained as a public record.
- b. Discrimination Prohibited – As specified in City Code **chapter 74**, in the solicitation or awarding of contracts, the City shall not discriminate because of race, religion, color, sex or national origin of the bidder or offeror.
- c. Only Practical Source – A determination that *there is only one person or company that can provide the goods, services or construction needed and that any attempt to obtain competitive bids or solicit proposals would result in only one person or company being available to meet the need*. The Justification for Only Practical Source Form is required *with a written justification in a memorandum setting forth all facts and recommendations necessary*. *Both form and memorandum* must be approved by the Department Director, Director of Procurement Services and the Office of Minority Business Enterprise.
- d. Emergency Purchases – *A determination that an occurrence of a serious and urgent nature that demands immediate action to protect personal safety or property and maintain essential City operations and services. The Director of Procurement Services will determine that an emergency exists only when:*
 - 1) A breakdown or failure of machinery or other equipment;
 - 2) Threat of a curtailment, diminution or termination of an essential service;
 - 3) Development of a dangerous condition and that a procurement, without recourse to competitive sealed

bidding or competitive negotiation, is needed to prevent loss of life or property essential to protect and preserve the interests of the City and its inhabitants needed to maintain the proper functioning of the City government or needed to maintain the efficient rendering of public services as outlined in City Code *chapter 74*; and/or,

- 4) *A declaration of either a state of emergency or a local emergency is in effect.*

A Justification for Emergency Procurement Form must be received within two business days after being resolved.

- e. Invitation for Bids (IFB) – Used to solicit written bids with a specific requirement for goods and services or construction.
- f. Request for Proposals (RFP) – Used primarily for the solicitation of professional services such as accounting, actuarial, medical, professional engineering etc., and for services that are not identified as professional service.
- g. Request for Qualification (RFQ) – Used primarily to identify firms for construction projects costing over \$200,000.00.

4. Forms:

Forms are located on the RPD's Server, the City of Richmond's Intranet, the City of Richmond's website and/or the State Department of General Services website:

- a. Price Agreement Release (PG) – A purchasing document which is required in order to make purchases for City contracts (Check active City Contracts Lists).
- b. Departmental Purchase (PD) – A purchasing document which is required in order to make non-contractual purchases up to **\$50,000.00** with the following distinctions:
 - 1) **Up to \$5,000.00** – One written quote required.
 - 2) **Over \$5,000.00 to under \$49,999.99** – Three written quotes required, including one minority business quote, submitted on a Request for Quotation Form with the Bid Worksheet.
 - 3) Purchases exceeding \$10,000.00 also require the completion of the Anti-Collusion Statement and Drug-Free Workplace Forms.
 - 4) State **Contracts** up to **\$50,000.00** – State contract number is required.

- 5) Department Purchase Requests cannot be submitted for the same supplies or services within 90 calendar days of the initial request. Receipt of such a request shall not be processed with an aggregate amount exceeding \$50,000.00.

Uses for the Departmental Purchases (PD)		
Type of Purchase	Dollar Value	Requirement
<i>Small Purchases</i>	<i>Up to \$5,000</i>	1 Quote Required
Purchases	\$5,001 - <i>\$50,000</i>	3 Written Bids Required (1 Minority Business)
Emergencies	\$5,001 - <i>\$50,000</i>	3 Quotes When Practical
Temporary Personnel	\$5,001 - <i>\$50,000</i>	Copy of Original Bids
State Contract Items	Up to <i>\$50,000</i>	State Contract Number Required
Only Practical Source	Up to <i>\$50,000</i>	Justification Memo Approved by Agency Head/Procurement Director
Food Purchases	Up to <i>\$50,000</i>	3 Quotes When Practical (1 Minority Business)
Original Equip. Manuf.	Up to <i>\$50,000</i>	Justification Memo Approved by Agency Head/Procurement Director

- c. Requisition (RX) – A purchase requisition form is used to request non-recurring goods and services over ***\$50,000.00***. An Invitation for Bid Package Request must accompany the RX form if over ***\$50,000.00***.
- d. Non-Encumbered Invoice (NEI) – Certain types of supplies, materials, equipment and services are not generally purchased or processed by Procurement Services but are the responsibility of the RPD. The following are examples of items that may be secured directly through exclusive use of a Not-Encumbered Invoice:
- 1) ***Association/Membership Dues*** – Membership in professional associations for City Agencies or employees;
 - 2) ***Balance Sheet Accounts – Statement of Financial condition;***
 - 3) ***Care of Prisoners – Care and maintenance of City prisoners confined in places other than the City detention facility;***
 - 4) ***Event Promoter/Performer – Primarily related to events held at the Landmark Theater;***
 - 5) ***Jury Members/Poll Workers – Civic Duty pay;***

- 6) ***Legal Related – Settlement of claims (authorized by City Attorney’s Office), lawyer fees, warrant, lien and continuance fees, legal briefs;***
- 7) ***Library Type Materials – Manuscripts, maps, charts, sheet music, phonograph records, compact discs, DVDs, video tapes, cassette tapes, periodicals, books and publications;***
- 8) ***Petty Cash – To replenish the petty cash fund;***
- 9) ***Police Investigations Funds – Purchases for special police work when the Chief of Police certifies to the Deputy Director that items are needed for undercover police operations;***
- 10) ***Pre-paid Travel Items – Airfare, conferences, registrations and hotel;***
- 11) Publications – Purchase of government publications offered by federal, state, county or municipal agencies;
- 12) ***Real Estate – Real estate purchases and condemnations;***
- 13) Refunds – ***Includes taxes, utility deposits and payroll related refunds;***
- 14) ***Social Services Direct Use Payments – Goods or personal services for the direct use by individual recipients of Social Services programs;***
- 15) ***Support of Children – Expenses for wards of the City boarded in private homes, including the payment of school lunches;*** and,
- 16) Utility payments – Certain payments authorized by City Council or a City contract which includes:
 - Charges allowed to private contractors for connection of city gas mains;
 - Payment for water rights and facilities;
 - Canal gate maintenance;
 - Payment to natural gas companies for gas and related services; and,
 - Monthly telephone payments.

The NEI has limited procurement use. If materials, supplies and services are used on a recurring basis, a blanket Departmental Purchase Order not to exceed \$5,000.00 should be established.

- e. Unauthorized Purchase and ***Ratification*** Form – Per ***City Code chapter 74***, all transactions determined by the ***Deputy Director*** of the Financial Management Division to be unauthorized shall be forwarded to the Organization ***Major/Civilian Equivalent*** on an Unauthorized Purchase ***and Ratification*** Form requiring the Organization ***Major/Civilian Equivalent*** to explain the reason for the commitment. Based upon the explanation, a determination will be made on whether the purchase is justified for payment by the Department. All unauthorized purchases will be reported monthly on an internal Report and forwarded to the ***Financial Management Division Deputy Director***.

For additional questions or to locate a form, contact the Purchasing Unit.

5. Signature Authority:
 - a. Signature authority on purchase requests has been established to streamline the purchase process as well as to maintain fiscal controls. All authorized signatures of Organization Budget Managers are retained on file in the Purchasing Unit.
 - b. The Division/Unit's Officer-in-Charge (OIC) must approve all purchase requests prior to submission to the Purchasing Unit. At certain announced times during the fiscal year, additional signatures will be required.
6. Prompt Payment of Bills – It is the Division/Unit's responsibility to certify that invoices are billed and paid in accordance with contract costs, terms and conditions as indicated in the City Code:
 - a. Contract Payment Terms – The City of Richmond's standard payment terms are:
 - 2% 20 Net 30 (IFB);
 - Net 45 (Construction Project); and,
 - Net 30 (RFP).

If a payment term is not established by contract, payment is due not more than 45 days after goods or services are received or not more than 45 days after the invoice is rendered, whichever is later.

- b. Late Payments Cost – Failure to pay promptly voids cash discounts and results in the agency paying assessed finance charges on the unpaid balance (up to 1% per month).

- c. Supplier Notification – Within 20 days after receipt of the invoice or goods or services, notify the supplier of any defect(s) or impropriety that would prevent payment by the required date.
7. Procurement Information Request – It is the intent of the Purchasing Unit to provide exceptional customer service to all users in the process. In an effort to expedite transactions and curtail delays, the Procurement Information Request Form will be used to transmit and receive correspondence.
8. ***Contract Administration – Involves the management of all actions after the awarding of the contract that must be performed to ensure contract compliance, such as timely delivery, acceptance, payment and closing the contract. Contract Administration is the final phase of the procurement cycle.***
 - a. ***Contract Development – Is an important element of contract administration and is the first phase of the procurement cycle. When problems arise, the contract (a legally binding document) is used to enforce compliance. When contract requirements are not clear and concise, the monitoring and enforcement of contract performance is hindered. After needs are recognized, the following areas should be considered and/or included in the statement of work format:***
 - 1) ***Background (or introduction):***
 - ***Explain why the work/service is needed;***
 - ***Provide information defining the using agency and the program involved;***
 - ***Describe the program goal and the relationship of the objective to this goal; and,***
 - ***Include any additional background information that would be useful in understanding the nature of the proposed contract.***
 - 2) ***Objective – Provide a clear and concise statement of what is being purchased.***
 - 3) ***Scope of Work – Define the range of contractor activities.***
 - 4) ***Reference Documents – List all documents referenced as a requirement in any other section of the statement of work, e.g. EIA, Standard 33907, VDOT MUTCD, Standards, Temperature Control Manual – Cal 9900.***

- 5) *City Furnished Items – List all items (information, materials, etc.) that will be furnished to the contractor by the RPD. Give dates to be furnished and returned.*
 - 6) *Tasks – Define the major tasks in such a way so that their sequences allow for progress measurement and that task costs are easily estimated. For example:*
 - *Task 1 – Design of survey questionnaire*
 - *Task 2 – Conduct survey*
 - *Task 3 – Analysis of survey data*
 - *Task 4 – Reporting*
 - *Task 5 – Seminar*
 - 7) *Requirements – Define all detailed technical requirements that are required in the delivered product or service. Requirements should be categorized as reporting, documentation, survey, design, etc.*
 - 8) *Activity Approvals – List all the approvals the contractor must receive from the RPD during the conduct of the contract (i.e. work schedules, change orders, etc.).*
 - 9) *Deliverables – List all items that must be delivered to the RPD (i.e. progress reports, 50 radios, 10 battery chargers, work plan, training manuals, 7-8 hour days of on-site training, etc.).*
 - 10) *Delivery Schedule – Adjacent to each deliverable, list the time period required for delivery after contract award (6 months after contract award, 10 days after notice to proceed, etc.).*
 - 11) *Acceptance – Define the conditions that must be satisfied prior to acceptance of any portion or all of the contractors work by the RPD (i.e. Upon successful completion of field test, upon delivery of all specified deliverables, etc.).*
 - 12) *Packaging and Shipping – Define packaging and shipping requirements for all deliverables (i.e. Item number 6 shall be packaged with item number 9; All deliverables shall be shipped to 200 West Grace Street, between 8 am and 4 pm, Free on Board (FOB) destination, etc.).*
- b. *Administrative activity required can vary from one contract to another depending on such factors as the complexity of the*

purchase, the contract type and the quality of the relationship between the two parties. In order for a contract to function effectively, it is critical to have open communication between the parties. To that end, the Financial Management Division shall designate a Project Manager following the award and execution of the contract to monitor compliance and performance of the contract and issue a Contact Designation Letter.

c. *The Project Manager shall sign the Contact Designation Letter and make certain that the contractor performs according to the technical requirements of the contract. The Project Manager also shall:*

- *Understand the requirements of work statements and specifications;*
- *Initiate Post-award conference/meeting;*
- *Provide a Notice to Proceed date to the RPD Finance Office;*
- *Coordinate the day-to-day delivery of goods/services;*
- *Provide technical guidance to the contractor;*
- *Maintain a file of all technical instructions issued, as well as all deliverables;*
- *Ensure goods/services are delivered in accordance with contract terms and conditions;*
- *Certify invoices are billed and paid in accordance with contract terms and conditions;*
- *Ensure contract terms and conditions are not extended, increased, decreased or modified in any way without approval by the Financial Management Division and City Procurement Services;*
- *Monitor vendor performance including documenting and promptly reporting poor performance on vendor complaint forms and vendor performance reports; and,*
- *Keep the Financial Management Division informed of significant events involving the contract.*

C. *Credit Card Guidelines:*

1. *City-issued credit cards shall only be used for business-related travel and business-related purchases and be within budget guidelines. All*

personnel shall follow travel and procurement policies as outlined in this Order.

2. *The cardholder shall be responsible for any unauthorized charges. Continued use for non-business-related reasons will result in privileges being revoked, including, but not limited to disciplinary actions.*
3. *The City shall not be responsible for paying any late fees, but shall expect the assigned cardholder to pay for any late charges.*
4. *Credit card statements will be hand-delivered to cardholders within 24 hours of receipt.*
5. *Cardholders shall review credit card statements and report any discrepancies to the City's Debt Investment Manager or Assistant City Controller statements within three (3) business days of receipt.*
6. *Cardholders and supervisors shall sign the credit card statement to indicate that the statement has been reviewed and charges are appropriate.*
7. *All payment requests shall be submitted with the original credit card statement along with supporting documentation attached (i.e. hotel receipt) to a completed NEI/Purchase Order to the Department of Finance – Disbursements – Accounts Payable for review and payment processing within three (3) business days of receipt of the statement.*
8. *Lost or stolen cards must be promptly reported to the credit card company and to the Financial Management Division Deputy Director, who shall notify the City's Chief Financial Officer in writing within two (2) business days.*
9. *Credit cards must be canceled when an employee terminates from the City or violates travel and/or procurement policies and procedures.*

D. Grant Acquisition and Management:

1. The Budget and Grants Unit shall:
 - a) Establish and maintain a repository and clearinghouse of potential sources of federal, state and private grant funds applicable to the mission of the Department;
 - b) Assist Divisions/Units that identify potential grant-funded projects to prepare the application documents in accordance with guidelines supplied by the granting agency or organization;
 - c) Establish and maintain a repository of all Department grant application packages pending, denied or approved; and,

- d) Arrange for the activation of approved grants including obtaining approvals by the Chief Administrative Officer (CAO), the Chief Financial Officer (CFO) and the Director of Budget and Strategic Planning.
2. Assistant Chief of Police Having Responsibility for Projects Funded by Grants shall:
- a) **Ensure** that the projects are performed in accordance with approved technical plans, approved budget plans and any special terms and conditions; and,
 - b) **Ensure** that appropriate records are maintained for reporting and accountability purposes.
3. Divisions/Units and Performing Grant Projects shall:
- a) Develop concepts and supporting data to be included in applications for grants and assist with the preparation;
 - b) Manage projects approved by granting agencies or organizations in strict accordance with grant terms and conditions;
 - c) Maintain such records required for compliance with project fiscal and narrative reports and required evaluations under the grant; and,
 - d) Supply data needed to complete periodic grant reports to the Budget and Grants Unit.
4. Grant Applications:
- a) The Budget and Grants Unit shall sponsor one or more strategy meetings with key management staff early in each fiscal year. Additional meetings may be scheduled during the year if additional funding opportunities are identified. The objectives of the meetings are:
 - (1) To identify the highest priority projects for which to seek funding;
 - (2) To identify sources of match funding;
 - (3) To examine the potential for interdisciplinary grants and grants that cross organizational lines;
 - (4) To develop coherent justifications for funding closely aligned with the Department's mission and goals, and using consistent descriptive, statistical and demographic data; and,
 - (5) To develop strong, well-crafted, competitive applications that can contribute to a high success rate for funding.

- b) Based on the information developed at the planning meetings, the Budget and Grants will be responsible for identifying and writing grant applications.
 - (1) The Budget and Grants Unit shall be responsible for completion of the applications in conformance with the application guidelines; shall obtain the necessary Departmental and City approvals and submit the applications.
 - (2) The Budget and Grants Unit shall review applications for which funding is denied and study the reasons for denial with a view towards strengthening the Department's future submissions.
 - (3) If an application is approved, the Budget and Grants Unit shall receive the award letter and the accompanying terms and conditions. The Unit shall also arrange for the acceptance of the grant by the City Administration and shall prepare the documentation needed for City Council's approval of the appropriation. Following such approval, the Unit shall establish the necessary financial accounts in compliance with the terms and conditions of the grant.

2. Grant Administration:

- a) Each Division/Unit responsible for performing a grant-funded project shall designate a Program Manager to maintain necessary grant records; to serve as the point of contact on all matters pertaining to the award and to assist in preparing grant reports. If a grant crosses organizational lines, one Division/Unit shall be assigned responsibility for grant management.
- b) The Budget and Grants Unit shall monitor all active grants to assure compliance with the periodic administrative and technical reporting requirements and for the grant closeout activities. Responsibilities of the Budget and Grants Unit are:
 - (1) At the initiation of a grant-funded project, a representative of the Budget and Grants Unit shall meet with the responsible Program Manager to assure a common understanding of the administrative and reporting requirements of the grant.
 - (2) The Budget and Grants Unit shall maintain a central Department file of approved grants, including the original grants and all continuation awards. The file will include copies of award letters, general and special conditions, approved budgets, approved project workplans, accounting documents, post-award modifications to grant conditions or budgets, periodic grant reports and close-out documents.

- (3) Programmatic grant reports shall be drafted by Program Managers in the Divisions performing the programs and reviewed by the Budget and Grants Unit for submission in final form to the funding agency or organization.
- (4) The Budget and Grants Unit shall monitor proposed expenditures for grant-funded projects to assure that funds are available for the proposed expenditures and that the appropriate fund accounts are encumbered.
- (5) The Budget and Grants Unit may establish such subsidiary ledgers as are deemed necessary to collect expenditure information that will be needed by Program Managers for grant reporting.
- (6) On a quarterly basis or on such other schedule as the granting agency or organization specifies, the Budget and Grants Unit shall initiate the necessary documents to draw down grant funds.

3. Program Evaluation:

The Budget and Grants Unit shall periodically review the procedures for the development of funding applications and the administration of grants and may recommend modifications to improve the Department's success rate and post-award accountability.

V. FORMS

A. Travel Expense and Statements:

1. ***PD-104, Request for Advance Travel and Expenditure Authorization***
2. Travel Advance Request Voucher
3. Travel Expense Settlement Voucher

B. Procurement Forms:

1. Price Agreement Release (PG)
2. Department Purchase (PD)
3. Requisition (RX)
4. Non-Encumbered Invoice (NEI)
5. Unauthorized Purchase and ***Ratification*** Form

C. ***Contract Designation Letter***